

Atty. Dkt. No. 033337-0131

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BT  
5-7-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John MELLERT et al.  
Title: REDUNDANT LINE UNIT MONITORING  
ARCHITECTURE  
Appl. No.: 09/927,439  
Filing Date: August 13, 2001  
Examiner: Unassigned  
Art Unit: 2872

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

Sir:

Submitted herewith on Form PTO-1449 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56. A copy of each listed document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

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**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(b), before the mailing date of the first Office Action on the merits.

**RELEVANCE OF EACH DOCUMENT**

All of the documents are in English.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 C.F.R. §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date February 11, 2002

By Manjit Singh Roy M. 43,250

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Form PTO-1449  
(MODIFIED)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

033337-0131

SERIAL NO.

09/927,439

APPLICANT

John MELLERT et al.

FILING DATE

08/13/2001

GROUP ART UNIT

2872

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	A1	5,535,037	07/09/96	Yoneyama			
	A2	5,625,481	04/29/97	Tamura et al.			
	A3	5,764,405	06/09/98	Alphonsus			
	A4	5,926,304	07/20/99	Tajima			
	A5	5,926,263	07/20/99	Lynch et al.			
	A6	5,969,833	10/19/99	Jensen			
	A7	6,025,949	02/15/00	Anderson			
	A8	6,028,684	02/22/00	Kidorf			
	A9	6,134,032	10/17/00	Kram et al.			
	A10	6,292,288	09/18/01	Akasaka et al.			

## FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
						YES	NO

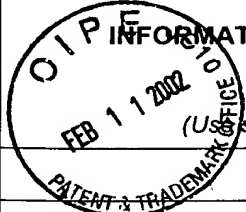
## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

A11	G. S. Glaesemann, "Optical Fiber Failure Probability Predictions From Long-Length Strength Distributions", 40th International Wire and Cable Symposium, 1999, Pages 819-825.
A12	Ivan P. Kaminow et al., "Optical Fiber Telecommunications 111B, Pages 101-103.
A13	Ivan P. Kaminow et al., "Optical Fiber Telecommunications 111A, Pages 60-61, 279-281 and 330.
A14	International Telecommunication Union, "Series G: Transmission Systems and Media, Digital Systems and Networks", October, 2000, Pages 1-17.
A15	K. Takada, "Low-cross-talk polarization-insensitive 10-GHz-spaced 128-channel arrayed-waveguide grating multiplexer-demultiplexer achieved with photosensitive phase adjustment", Optical Society of America Pub., 2001, Pages 64-65.
A16	Bell Labs Technical Journal, October-December, 1999, Pages 138-154.
A17	Ravi V. Shankar et al., "Managing the Management Communications Network in Optical Transport Systems, Bell Labs Technical Journal, October-December 1999, Pages 155-170.
A18	AT&T Technical Journal, "Undersea Communications Technology", January/February, 1995, Volume 74, No. 1, Pages 1-103.
A19	P.K. Runge, "AT&T Optical Amplifier Systems", Pages 72-77.
A20	R.A. Jensen et al., "Line Monitoring of Undersea Systems", Abstract, Pages 160-163.
A21	Morten Ibsen et al., "8- and 16-Channel All-Fiber DFB Laser WDM Transmitters with Integrated Pump Redundancy", 1999 IEEE, Pages 1114-1116.

EXAMINER

DATE CONSIDERED

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.

Form PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 033337-0131		SERIAL NO. 09/927,439	
 <b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)				APPLICANT John MELLERT et al.			
				FILING DATE 08/13/2001		GROUP ART UNIT 2872	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	A1	6,211,985	04/03/01	Anderson			
	A2	6,323,981	11/27/01	Jensen			
	A3	6,304,351	10/16/01	Pedersen			
<b>FOREIGN PATENT DOCUMENTS</b>							
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
	A4	A. Berntson, "Influence of cross-talk and pump depletion on the design of Raman amplifiers for WDM systems", 2 Pages.					
	A5	Jianping Zhang et al., "Dependence of Raman Polarization Dependent Gain on Pump Degree of Polarization at High Gain Levels", Pages 1-3.					
	A6	M. Murakami et al., "Long-Haul 16x10 WDM Transmissions Experiment Using Higher Order Fiber Dispersion Management Technique, ECOC '98, September, 1998, Pages 313-314.					
	A7	Ellen Brain et al., "Ten Years of Operating Light Wave Systems", Abstract, Pages 203-209.					
	A8	C. de Maindreville et al., "Submarine Network management: Architectural Issues", Abstract, Pages 573-580.					
	A9	S. Namiki et al., "Recent advances in ultra-wideband Raman amplifiers", Pages 1-3.					
	A10	R. A. Jensen et al., "Line Monitoring of Undersea Systems", Pages 160-163.					
<b>EXAMINER</b>				<b>DATE CONSIDERED</b>			
* <b>EXAMINER:</b> Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.							